

PATENT
16966-00002

CERTIFICATE OF MAILING BY EXPRESS MAIL TO
THE COMMISSIONER OF PATENTS AND TRADEMARKS

Express Mail No. EL048587435US

Date of Mailing: February 15, 2000

I certify that the documents regarding the United States National Phase International patent application of **Teruhiko TAMORI** for **INFORMATION RECORDING/PROCESSING DEVICES AND MACHINE/SYSTEM CONTROLLING DEVICES EQUIPPED WITH FINGERPRINT SENSORS**, U.S. App. Ser. No. 09/424,685, U.S. National Stage Filing of PCT/JP98/01440, International App. Priority Date 30 March 1998, including:

1. Response to Notification of Missing Requirements Under 35 USC 371 in the United States Designated/Elected Office (2 pages, in duplicate)
2. Supplemental Declaration and Power of Attorney (3 pages)
3. Copy of Transmittal Letter and associated documents, including Declaration and Power of Attorney, as filed January 11, 2000 (8 pages)
4. Return copy of Notification of Missing Requirements (2 pages)
5. Certificate of Mailing by Express Mail (1 sheet)
6. Return Receipt Post Card

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231.



Alan L. Cassel, Reg. No. 35,842
ARMSTRONG TEASDALE LLP
One Metropolitan Square, Suite 2600
St. Louis, Missouri 63102-2740
314/621-5070

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

16966-2

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/424,685

INTERNATIONAL APPLICATION NO.

PCT/JP98/01440

INTERNATIONAL FILING DATE

30 March 1998

PRIORITY DATE CLAIMED

None

TITLE OF INVENTION

**INFORMATION RECORDING/PROCESSING DEVICES AND MACHINE/SYSTEM
CONTROLLING DEVICES EQUIPPED WITH FINGERPRINT SENSORS**

APPLICANT(S) FOR DO/EO/US

TAMORI, Teruhiko

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Verified Statement (Declaration) Claiming Small Entity Status
(37 CFR 1.9(f) and 1.27(c) - Small Business Concern

Patent Recordation Form Cover Sheet

Return Postcard

Certificate of Express Mail

Request for Refund

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but
international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =		X \$18.00
Independent claims	- 3 =		X \$78.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00

TOTAL OF ABOVE CALCULATIONS =

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

TOTAL NATIONAL FEE =

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

TOTAL FEES ENCLOSED =

Amount to be refunded:	\$ 777.00
charged:	\$ 105.00

a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 01-2384 in the amount of \$ 105.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 01-2384. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Armstrong Teasdale LLP
One Metropolitan Square, Suite 2600
St. Louis, MO 63012



SIGNATURE:

Alan L. Cassel

NAME

35,842

REGISTRATION NUMBER

IN THE UNITED STATES OFFICE OF PATENTS AND TRADEMARKS

Applicant: TAMORI, Teruhiko	:	Group Art Unit:
	:	
Serial Number: 09/424,685	:	Examiner:
	:	
U.S. National Stage Filing Of:	:	
International App. No.: PCT/JP98/01440	:	
International App. Priority Date: 30 March 1998	:	
	:	
	:	
For: INFORMATION RECORDING/ PROCESSING DEVICES AND MACHINE/SYSTEM CONTROLLING DEVICES EQUIPPED WITH FINGERPRINT SENSORS	:	

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER
35 USC 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE

Assistant Commissioner for Patents
Attention: Box PCT
Washington, D.C. 20231

Sir:

A Notification of Missing Requirements Under 35 USC 371 in the United States Designated/Elected Office, mailed January 18, 2000, was received by Applicant because the Office had not yet entered a Declaration of Applicant filed January 11, 2000 into Applicant's file.

In response to the Notice, Applicants enclose herewith a copy of the papers filed January 11, 2000 in this Application, including a copy of the Declaration executed by Applicant Teruhiko Tamori, the Express Mail Certificate accompanying the Declaration, and the Return Post Card stamped by the PTO showing receipt of the Declaration. Also enclosed is a the return copy of the Notification.

The Declaration filed January 11, 2000 referred to the serial number of the U.S. National Stage Application, 09/424,685. Although this Declaration is believed to be sufficient, Applicant is also enclosing herewith a Supplemental Declaration referring to the Japanese PCT patent application designating the United States from which this national stage filing is based.

The Commissioner is hereby authorized to charge the surcharge of \$130.00, or the

correct amount, to Deposit Account Number 01-2384. Note, however, that payment of this fee was authorized in the papers filed January 11, 2000, which also included a Verified Statement Claiming Small Entity Status.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any over payment, to Deposit Account No. 01-2384. A duplicate copy of this Response is enclosed.

The Office is respectfully requested to contact the undersigned by telephone to expedite any further correspondence regarding the Notification of Missing Requirements, if such correspondence is deemed necessary by the Office.

Respectfully submitted,

A handwritten signature in cursive script, reading "Alan Cassel", is written over a horizontal line.

Alan L. Cassel, Reg. No. 35, 842
ARMSTRONG TEASDALE LLP
One Metropolitan Square, Suite 2600
St. Louis, Missouri 63102-2740
(314) 621-5070

THE UNITED STATES PATENT OFFICE IS REQUESTED TO IMPRESS ITS STAMP ON THIS CARD AND PLACE SAME IN THE OUTGOING MAIL TO SHOW THE FOLLOWING PAPERS HAVE BEEN RECEIVED.

430 Rec'd PCT/PTO 11 JAN 2000

Applicant: Teruhiko TAMORI


Atty. Dkt. 16966-00002

S.N. 09/424,685

For:

**INFORMATION RECORDING/PROCESSING DEVICES AND
MACHINE/SYSTEM CONTROLLING DEVICES EQUIPPED WITH
FINGERPRINT SENSORS**

Enclosed:

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2 pages, in duplicate)
 2. Declaration and Power of Attorney (3 pages)
 3. Assignment (1 page) and Recordation Form Cover Sheet Patents Only (1 page, in duplicate)
 4. Verified Statement (Declaration) Claiming Small Entity Status (1 page)
 5. Request for Refund (1 page)
 6. Certificate of Mailing by Express Mail (1 page)
 7. Return Receipt Post Card
- 

ALC/jll Mailed: JANUARY 11, 2000

EXPRESS MAIL NO. EL319728553US

08/423000



Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

16966-00002

U.S. APPLICATION NO. 097424,695	TAMURI	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
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5071

EST/TEOS/01440
INTERNATIONAL APPLICATION NO.

ARMSTRONG TEASDALE
ONE METROPOLITAN SQUARE
SUITE 2600
ST LOUIS MO 63102

00/00/00	00/00/00
FILED DATE	PRIORITY DATE

01/18/00

DATE MAILED

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as
- ☒ a Designated Office (37 CFR 1.494).
 - ☐ an Elected Office (37 CFR 1.495):
 - ☒ U.S. Basic National Fee.
 - ☒ Copy of the international application in:
 - ☒ a non-English language.
 - ☐ English.
 - ☒ Translation of the international application into English.
 - ☒ Oath or Declaration of inventors(s) for DO/EO/US.
 - ☐ Copy of Article 19 amendments.
 - ☐ Translation of Article 19 amendments into English.
 - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
 - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
 - ☒ Preliminary amendment(s) filed 29 NOV 1999 and 29 NOV 1999
 - ☒ Information Disclosure Statement(s) filed 29 NOV 1999 and 29 NOV 1999
 - ☐ Assignment document.
 - ☒ Power of Attorney and/or Change of Address.
 - ☐ Substitute specification filed _____
 - ☐ Statement Claiming Small Entity Status.
 - ☐ Priority Document.
 - ☒ Copy of the International Search Report ☒ and copies of the references cited therein.
 - ☐ Other:
2. The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
 - ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.
 - ☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
3. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☐ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes MUST be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.
5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875
FORM PCT/DO/EO/905 (December 1997)

Leont Hunter
National Stage Processing
Telephone: (703) 305-3886

-3686

ENT-
Date: 1/18/00
By: [Signature]



U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/424,685	TAMORI	T 16966-00002
5071		INTERNATIONAL APPLICATION NO.
ARMSTRONG TEASDALE ONE METROPOLITAN SQUARE SUITE 2600 ST LOUIS MO 63102		PCT/JP98/01440
		I.A. FILING DATE
		PRIORITY DATE
		03/30/98 00/00/00
		01/18/00

DATE MAILED:

NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371 (c)(4) for entry into the national stage in the United States of America. The period within which to correct these requirements and avoid abandonment is set in the accompanying Office action.

A new oath or declaration, identifying this application by the international application number and international filing date is required. The oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

1. ☒ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the specification to which it is directed.
3. ☐ does not identify the inventor(s).
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b) WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the city and state or city and foreign country of residence or each inventor.
2. ☐ does not state that the person making the oath or declaration:
 - a. ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
 - b. ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.
4. ☐ does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and filing date of the continuation in part application which discloses and claims subject matter in addition to that disclosed in the prior application (37 CFR 1.63(d)).

Lamont Hunter
National Stage Processing
(703) 305-8838

Telephone: (703)